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Agenda item 114
Review of the efficiency of the administrative and financial functioning of the United Nations

Procurement reform

Report of the Secretary-General

I. Sharper definition of exigency

Introduction

1. The present report is submitted pursuant to General Assembly resolution 52/226 A of 31 March 1998. The report of the Secretary-General to the General Assembly on procurement reform dated 27 October 1997 (A/52/534) recommends a review of the financial regulations, rules and established procedures with a view to making amendments that would be responsive to the exigency requirements of peacekeeping and other emergency operations (para. 46). The Assembly, in its resolution 52/226 A of 31 March 1998 (para. 8), urged the Secretary-General to submit to the Assembly a sharper definition of exigency needs at his earliest convenience. An integral component of the proposed review would be a sharper definition of exigency, one that would likely enhance the deliberations of the task force on common services and the overall attempt to implement comprehensive and meaningful procurement reform.

Analysis

2. In the experience of programme managers, the concept of exigency is relative, describing an operational or support requirement that is of such immediate need that it cannot await consummation of the full procurement cycle as now prescribed under the United Nations financial regulations, rules, procedures and practices. As the procurement cycle is integral to the concept of exigency, two aspects of the procurement process are pointed out. The first aspect covers value for money and fairness considerations. It includes identification and definition of a requirement, solicitation of bids or proposals and recommendation for award of a contract. The second aspect includes procedures for completion of all the administrative processes necessary for approval of the procurement, especially at the level of Headquarters in New York. Both aspects are governed at least in part by the Financial Regulations and Rules of the United Nations.

3. The only definition of exigency in the current procurement procedures is made in the context of financial rule 110.19, which allows for the waiver of competitive bidding when a requirement, such as requests for invitations to bid or requests for proposals is deemed incompatible with the exigency of the service. Thus, this definition of exigency provides relief by reducing the procurement lead time with respect to the first aspect of the procurement cycle. However, the dynamics of field procurement are characterized by a set of urgent requirements representing a significant portion of mission requirements, which in most

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cases can withstand the delay of a bidding exercise, but which cannot withstand the multi-layered process of reviews and recommendations necessary for award approval, namely, the second aspect of the procurement process. Delays in the review and approval processes are major contributors to *ex post facto* cases.

4. Therefore, any effort to reduce the number of *ex post facto* cases would require a review of the approval procedures under the second aspect of the procurement cycle, notwithstanding progress that has been and is continuing to be made to reduce procurement lead time by the introduction of new contingent-owned equipment and self-sustainment arrangements, reducing direct support to troops in the field, procurement plans based on the annual budget cycle, systems contracts, initiation of the procurement process in advance of commitment authority and enhanced delegation of authority.

The proposed definition of exigency

5. The requirements that are not covered by the Financial Rules are functionally defined by programme managers at the mission level and at Headquarters as immediate operational requirements, for which the following working definition is proposed: immediate operational requirements are urgent support or operational requirements that are unforseeable or for which there is inadequate planning time, and which, if unfulfilled, would in a short time jeopardize life or United Nations property, result in significant operational difficulties or adverse financial implications or otherwise impede the ability of the mission to fulfil its mandate. A requirement may be classified as exigent if it is deemed to require a waiver of the multi-layered process of review and approval.

Instances of exigencies/immediate operational requirements

6. Field missions are usually established in response to a political emergency, and the resulting political mandate translates into an operational mandate for the urgent establishment, deployment and sometimes redeployment of a large number of personnel, with all the requisite support services. Given budgetary realities and the temporary nature of mission mandates, long-term contingency planning becomes almost impossible. As a result, missions have very little time to meet operational needs. Thus exigencies are inherent to everyday field operations, and can be mitigated only by better planning and more efficient administrative procedures. The aforementioned dynamism of field operations that gives rise to exigencies can occur any time during the mission life cycle, but are exacerbated during the following periods:

(a) Mission inception: The issuance of a new mission mandate translates into the deployment of a significant number of troops and civilian personnel within a very short time-frame. This situation creates an exigent requirement for all life-supporting goods and services, such as contracts for deployment of military and civilian personnel, start-up kits, accommodations, petroleum, oil and lubricants, water, food rations, logistical support services, medicine, observation equipment and the like, in addition to essential support equipment such as generators and transportation and communications equipment. Indeed, a case could be made that most support requirements during the first three to six months of a mission's existence are immediate operational requirements.

(b) Mission expansion: A mission's expansion could be the result of a significant change in its mandate followed by the introduction of a substantial number of additional personnel and/or the undertaking of unplanned or initially unfunded operations such as electoral monitoring, demobilization and the like. In any event, during this period a mission experiences to a lesser degree similar dynamics as during its inception phase. Therefore, the exigencies are for similar goods and services, but in this case are related to the redeployment of troops and the setting up of new outposts or outstations with all the requisite support services, or the establishment of support for activities different from those of the start-up.

(c) Liquidation: Liquidation periods are set by political mandate and are often subject to change, thus providing a limited time-frame for adjustment. This creates an exigency to meet logistical requirements related to troop repatriation, repatriation of United Nations- and contingent-owned equipment and camp closures. The related requirements include, but are not limited to, shipping and freight services, air charters, material-handling equipment and ground transportation.

7. In summary, what is characteristic of immediate operational requirements is that they are unforeseen, there is inadequate planning time or they are not funded in a timely manner, they are always urgent and they have an adverse operational and/or financial impact if not met in a timely manner.

Conclusion

8. The Secretary-General trusts that this expanded definition of exigency will assist in eventually bringing about meaningful procurement reform and implementation of the recommendation of the Office of Internal Oversight Services, contained in its report dated 5 March 1998 (A/52/813), that special emergency rules and procedures be developed to meet the requirements of the emergency activities of the Department of Humanitarian Affairs and to address related issues concerning personnel and procurement arrangements (annex, para. 18). This is equally applicable to peacekeeping operations and other offices as envisaged in the same report and General Assembly resolution 52/226 A.

II. Guidelines on methods of inviting bids

9. In its report for the biennium ending 31 December 1995,[1] the Board of Auditors expressed concern at the lack of open tendering. The Administration explained that open tendering generally required significant lead times, was costly and should, therefore, be used on a selective basis. The Board, however, was of the view that the issue of short lead times should be addressed by improved procurement planning methods and recommended that the Procurement Division establish detailed guidelines on methods of inviting bids covering all aspects of procurement.

10. It is very much recognized that advance procurement planning by requisitioning offices and the timely submission of their requirements to the Procurement Division would enable the Division better to plan its own work programme and to enhance the overall efficiency and effectiveness of procurement. However, owing to the nature of United Nations operations, especially those pertaining to peacekeeping missions, it should be recognized that advance procurement planning is not possible in all cases. Nevertheless, planning is an important aspect of procurement and has therefore become part of the common services initiatives currently in progress at Headquarters. As such, the methods of inviting bids should be considered in the overall context of procurement reform involving the participation of various funds and programmes. Accordingly, a sub-Working group on common services procurement has been established and is reviewing this matter with a view to making recommendations. The review would entail establishing appropriate bidding cycles and methods of tendering so that programme managers will be guided by them when submitting their requirements to the Procurement Division.

11. In conclusion, it should be noted that procurement is part of the reform process and any changes made in that process should be refined on an ongoing basis to ensure efficiency, accountability and controls.

III. Revision of United Nations Financial Regulations and Rules pertaining to procurement

12. With reference to paragraph 46 of the report of the Secretary-General on procurement reform (A/52/534) and paragraph 4 of General Assembly resolution 52/226 A, it should be noted that it is not intended to change the Financial Regulations but to build on them and to review the Financial Rules pertaining to procurement in order to simplify them and make them clearer, relevant, user-friendly and practical, taking into consideration the experience gained over the past several years.

13. In view of the number of issues raised in the recent deliberations of the Fifth Committee, the subject of reviewing the Financial Rules would require revisiting to ensure that the concerns of the Committee are addressed. Any refinements or changes would have long-term implications for the United Nations system as a whole. Therefore, the participation of the procurement entities of the various funds and programmes is considered necessary for the review process. Furthermore, as the review of the Financial Rules is very much an integral part of the common services initiatives and of reform of the Organization, it has been considered necessary also to assign this task to a sub-working group on common services procurement to review the issue and to report thereon. The Secretary-General expects to report on the matter to the General Assembly at its fifty-fourth session.

Notes

[1] *Official Records of the General Assembly, Fifty-first Session, Supplement No. 5* (A/51/5), vol. I, sect. II, paras. 101-103.

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Financing of the International Tribunal for the Prosecution of Persons Responsible for Serious Violations of International Humanitarian Law committed in the Territory of the Former Yugoslavia since 1991

Report of the Secretary-General

Summary

The present report contains the third annual budget performance report of the International Tribunal for the Prosecution of Persons Responsible for Serious Violations of International Humanitarian Law committed in the Territory of the Former Yugoslavia since 1991 for the year ended 31 December 1997. The General Assembly decided to appropriate to the Special Account for the International Tribunal for the Former Yugoslavia $27,440,100 net ($29,825,500 gross) in resolution 51/214 B of 13 June 1997 and $21,146,900 net ($23,655,600 gross) in resolution 51/214 A of 18 December 1996. The total resources provided for the activities of the International Tribunal amounted to $48,587,000 net ($53,481,100 gross) for 1997. Of this amount, the recorded expenditures totalled $36,392,800 net, resulting in an unencumbered balance of $12,194,200 net. Of the unencumbered balance, the amount of $10 million net was already taken into account for the financing of the 1998 budget, in accordance with resolution 52/217 of 22 December 1997, to be utilized in the Tribunal's activities in 1998.

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I. Introduction

1. The budget performance report for 1997 is submitted in accordance with General Assembly resolution 49/242 B of 20 July 1995. The Assembly also requested the Secretary-General, in resolution 52/217 of 22 December 1997, to provide in the budget performance report the actual performance indicators for 1997.

2. During 1997, the International Tribunal delivered a judgement in the *Tadić* case and a sentence has been pronounced on the accused. Two trials, the *Čelebići* case and the *Blaskić* case, have been held and three full appeals have been handled. This reflects a significant increase in judicial activities over 1996 (one trial and one appeal). In addition to one newly elected Judge who took office in June 1997, on 17 November 1997, a new four-year term for five of the the Tribunal's Judges started and five newly elected Judges took office. For the *Čelebići* trial, which is currently ongoing and involves four indictees, the term of three Judges sitting on the case has been extended until the completion of the case, pursuant to General Assembly decision 51/319 B of 15 September 1997.

3. In addition, a further welcome development took place during 1997. A number of indictees were arrested or surrendered voluntarily into custody of the International Tribunal, representing an increase of indictees from 6 in the beginning of the year to 20 by the end of 1997. The arrests of the indicted war criminals had an effect on the activities of the Office of the Prosecutor, whereby the focus of activities shifted from investigation to prosecution in the second half of the year. Accordingly, staff resources devoted to investigation have been significantly diverted to prosecution activities to provide necessary support of the prosecution mandate, such as initial appearances, pre-trial proceedings and the trials themselves. The Office of the Prosecutor has undergone a substantial reorganization to meet the increased court activities in this connection. The work of the Registry, which is responsible for the administration and servicing of the judicial infrastructure of the Tribunal, was also affected, particularly in areas such as management of the defence counsel and detention units. As the overall activity level increased, the workload of the Registry correspondingly increased.

4. The present performance report comprises both the budget performance report and actual performance indicators for 1997.

II. Performance report for 1997

Table 1

Overall appropriation and expenditure

(Thousands of United States dollars)

Object of expenditure	*Appropriation*	*Expenditures*	*Variance* *Exchange rate*	*Variance* *Other*	*Total*
Posts (net of staff assessment)	28 228.0	20 379.4	(1 148.2)	(6 700.4)	(7 848.6)
Other staff costs	1 823.1	1 455.9	(94.0)	(273.2)	(367.2)
Salaries and allowances of Judges (including common staff costs)	1 955.0	1 770.9	(15.8)	(168.3)	(184.1)
Consultants and experts	391.6	154.5	(20.2)	(216.9)	(237.1)
Travel	2 700.8	1 691.5	(139.2)	(870.1)	(1 009.3)
Contractual services	5 096.2	4 611.4	(262.7)	(222.1)	(484.8)
General operating expenses	5 668.7	4 276.8	(292.2)	(1 099.7)	(1 391.9)
Hospitality	2.9	2.5	(0.1)	(0.3)	(0.4)
Supplies and materials	551.0	356.9	(28.4)	(165.7)	(194.1)
Furniture and equipment	1 499.8	1 415.7	(77.3)	(6.8)	(84.1)
Alteration to premises	669.9	277.3	(34.5)	(358.1)	(392.6)
Staff assessment	4 894.1	4 214.8	(252.3)	(427.0)	(679.3)
Total (gross)	53 481.1	40 607.6	(2 364.9)	(10 508.6)	(12 873.5)
Income from staff assessment	4 894.1	4 214.8	(252.3)	(427.0)	(679.3)
Total (net)	48 587.0	36 392.8	(2 112.6)	(10 081.6)	(12 194.2)

Budget performance

5. As contained in table 1 above, of the total net appropriation of $48,587,000, the actual expenditures recorded for 1997 amount to $36,392,800, reflecting an unencumbered balance of $12,194,200, or approximately 25 per cent of the appropriation. Of this surplus, $2,112,600 is estimated to be attributable to the favourable exchange rate and $10,081,600 is due to other factors. In this connection, it will be recalled that the financing of the 1998 budget of the Tribunal included $10 million of anticipated savings in 1997. At the end of the financial period, an additional surplus of $2,194,200 was recorded under the account. Significant variances between appropriation and expenditures are explained in the following paragraphs.

Posts (Decrease: $7,848,600)

6. A surplus of $7,848,600 was recorded under posts. This surplus may be attributed to four factors, namely, a higher vacancy rate than that assumed in the budget ($2.5 million); lower common staff costs than the original assumption ($3.1 million); variance due to exchange rate fluctuations ($1.2 million); and the difference between standard and actual salary costs ($1 million):

(a) Vacancy rate. The vacancy rate assumed in the 1997 budget of the Tribunal was 6.4 per cent for the period from 1 January to 30 June 1997 and 8.2 per cent for the period from 1 July to 31 December 1997. Actual average vacancies turned out to be 8.8 per cent for the first half of the year and 8.7 per cent for the second half of 1997;

(b) Savings under common staff costs. The standard costs for common staff costs in the 1997 budget were based upon the average cost per head in prior years, which was 55 per cent of total net salary. In prior years, however, a large number of new personnel employed by the Tribunal were eligible for the full range of allowances due upon recruitment or reassignment. As this was not the case in 1997, lower common staff costs were payable in 1997, resulting in a savings of $3.1 million;

(c) Exchange rate differences. The average exchange rate used for the Tribunal budget for 1997 was 1.84 Netherlands guilders. During 1997, the dollar strengthened significantly reaching a rate of exchange of 2.07 Netherlands guilders per dollar and averaging 1.94 Netherlands guilders per dollar. The average exchange rate of 1.94 Netherlands guilders is significantly different to that used in the 1997 budget, leading to a savings of $1.2 million under salaries;

(d) The lower actual salaries compared to the averages used in the standard salary costs in respect of the Tribunal's 189 posts in the Professional category and above and 178 posts in the General Service and related categories further contributed to the recorded savings.

Other staff costs (Decrease: $367,200)

7. The surplus of $367,200 is due mainly to the lower number of field missions in the Office of the Prosecutor, which significantly reduced the requirements for field interpreters.

Salaries and allowances of Judges (Decrease: $184,100)

8. Provisions under this heading included the relocation and removal of household effects of the five Judges who were expected to retire at the end of 1997. In order to complete the *Čelebići* trial, however, the tenure of three Judges was extended until 1998. The surplus reflects the unused relocation and removal provisions.

Consultants and experts (Decrease: $237,100)

9. The surplus of $237,100 is due mainly to the following: (a) the provision of $60,000 to allow the Tribunal to pay for the services of five *amici curiae* required by the court was not utilized since those who attended the court did not request payment; and (b) the assumption that the Chambers would conduct double sessions throughout 1997, thereby doubling the number of expert witnesses who would be called, did not materialize, resulting in a reduction of requirements by $176,500.

Travel (Decrease: $1,009,300)

10. The surplus of $1,009,300 is due to the following reasons:

(a) In the second half of 1997 several indicted persons offered themselves up for prosecution. This resulted in a significant change of activity in the Office of the Prosecutor, with many staff members involved in investigations being re-assigned to trial preparation activities. The reduction in the number of investigations

missions undertaken in the second half of 1997 led to a savings of $291,200 under travel costs;

(b) Provisions for travel in the Registry were based on an estimate of 400 witnesses coming to The Hague to testify for an average of eight days each. A total of 142 witnesses were actually brought to The Hague for an average of nine days each, thereby reducing requirements under this heading by $717,900.

Contractual services (Decrease: $484,800)

11. Under contractual services, the surplus of $484,800 may be attributed mostly to savings in the defence counsel costs ($155,200); verbatim reporting costs ($216,400); external printing ($80,800); and data-processing services ($78,700), partly offset by additional requirements in other areas.

12. The savings under defence counsel reflects the Registrar's decision to limit the number of hours that may be claimed for payment per month by defence counsel and co-counsel to 175. In the field of verbatim reporting, more favourable contractual arrangements with a new contractor resulted in significant savings. Under external printing, the reduced requirements relate to the deferral to 1999 of the second printing of the *Basic Documents* of the International Tribunal[1] as well as under-utilization of map and photographic reproduction services by the Office of the Prosecutor. Under data-processing services, provisions were made for subscriptions to access the Lexis-Nexis legal database service. Donations in-kind received during 1997 eliminated the requirement for such subscriptions from the Tribunal's budget.

General operating expenses (Decrease: $1,391,900)

13. Under general operating expenses, a surplus of $1,391,900 was recorded. The significant factors contributing to this surplus relate to rental and maintenance of premises ($961,500); commercial communications ($168,800); and maintenance of vehicles and electronic data-processing equipment ($193,600). These are explained in the paragraphs below.

14. Under rental and maintenance of premises, the surplus recorded is due to the delays experienced in moving into new premises at the end of 1996, thereby reducing rental and cleaning services costs. Under communications, reductions reflect the widespread implementation of the very small aperture terminal (VSAT) system in the region of the former Yugoslavia; the negotiation of better discounts with telephone providers in the Netherlands, as well as the installation of a new private branch exchange (PBX) system. Under maintenance of vehicles and electronic data-processing equipment the surplus results from the following:

(a) Costs for maintenance of vehicles were lower because the Tribunal's vehicle complement covered approximately 10,000 kilometres during 1997 as opposed to the 25,000 kilometres standard used for costing. The lesser area covered reflects the reduction in investigative missions undertaken by the Office of the Prosecutor;

(b) More favourable contractual arrangements for the maintenance of the automated document management system in the Office of the Prosecutor reduced requirements under maintenance of electronic data-processing equipment.

Supplies and materials (Decrease: $194,100)

15. The unencumbered balance of $194,100 related mostly to photocopy paper and supplies ($98,800) and petrol, oil and lubricants ($70,300). Provisions for photocopy paper and supplies were based on 50,000 reams of photocopy paper per year while actual consumption turned out to be approximately 20,000 reams. Under petrol, oil and lubricants, the lesser mileage covered by the Tribunal's vehicle fleet (10,000 kilometres instead of the projected 25,000 kilometres) correspondingly reduced expenditures under the item. Furthermore, 1997 fuel bills from the peacekeeping missions, which were received after the closing of the accounts, needed to be charged to the 1998 appropriation.

Furniture and equipment (Decrease: $84,100)

16. The surplus of $84,100 recorded under this heading is mainly attributable to savings achieved under hardware and software due to the delayed implementation of the Integrated Management Information System ($147,600), partly offset by additional expenditures of $70,600 related to the acquisition of security and safety equipment. Following the move to the headquarters building, it was necessary to extend the electronic control systems to cover the additional office space, the underground garage space and additional entry points to the building.

Alterations to premises (Decrease: $392,600)

17. An unencumbered balance of $392,600 was recorded under this heading. As outlined in the summary above, the appropriation for the Tribunal was granted in two installments. One effect of the split appropriation was that most of the capital expenditures and acquisitions were not funded until the second half of the year and many items of a recurring nature had to be procured twice. This placed a severe burden on the Procurement Unit in the second half of the year. As a consequence, and owing to additional workload generated by a number of large trust funds, the volume of work of the Procurement Unit was more than could be effectively completed by the Unit. The significantly high volume of work during the second half of the year resulted in many instances where procurement did not take place at year end. One action which could not be implemented at year end was the design and construction of office walls in the additional space the Tribunal had taken over in early 1997, resulting in the savings recorded under this heading. The project will nevertheless be completed in 1998 from extrabudgetary funding.

III. Action to be taken by the General Assembly at its fifty-second session

18. The General Assembly is requested to take note of the present report.

Notes

[1] United Nations publication, Sales No. E.95.III.D.1.

Annex

Comparison of forecast and actual performance indicators

The forecast performance indicators for 1997 were developed in August 1997 for inclusion in the cost estimates for the International Criminal Tribunal for the Former Yugoslavia for 1998. Because of this timing, they do not necessarily reflect the assumptions and criteria used for the calculation of the 1997 budget.

A. Chambers

Performance indicators	*Projection*	*Implementation*
Trials	2	2
Appeals (full and interlocutory)	3	10[a]
Court days	170	163
Plenary days	12	9[b]
Pre-trial motions, orders and applications	100	207
Order, warrants etc. issued by single Judge	75	60

[a] Three full appeals: *Erdemović* sentencing, *Balaskić* subpoena, *Tadić* merits and sentencing; plus seven applications to bench of three Judges: *Dokmanović* (1), *Čelebići* (6).

[b] Including November 17, Inauguration Day.

B. Office of the Prosecutor

	Projection	*Implementation*
Prosecution Section		
Motions/applications/responses	105	188
Trials under preparation	3	6
Trials being prosecuted	2	2
Trials completed	0	0
Verdicts	1	1
Appeals	3	4
Investigations Section		
Number and status of investigations	10 (3 active; 7 partially active)	19 (4 active, 3 partially active, 6 suspended, 6 in trial)
Investigations (resulting in public indictments)	1	0
Missions	400	424
Witnesses interviewed	2 300	1 126
Statements obtained	2 000	795
Leadership research team		
Major projects/reports prepared for teams	20	35

	Projection	*Implementation*
Number of missions	18	18
Documents examined	5 000	16 800 (including 8,000 medical reports)
Military Analysis Team		
Number of missions	26	23
Number of interviews	52	45
Documents analysed	15 000	18 000
Size of confidential (rule 70) document collection	8 000	10 000
Confidential (rule 70) documents analysed	3 500	4 500
Fugitive Intelligence and Sensitive Source Unit		
Intelligence reports from Interpol etc.	830	825
Requests from Governments	2 190	970
Forensic Unit		
Number of forensic missions (excluding exhumations)	4	4
Number of mass grave sites assessed for possible exhumation activity	9	10
Actual mass grave exhumations completed	2	3
Number of bodies exhumed and examined	65	70
Information and Evidence Section		
Number of documents held in the Office of the Prosecutor's evidence collection (cumulative size of collection)	113,000 documents: 791,000 pages, 1,500 videos, 36 cubic metres physical evidence	94,400 documents: 661,000 pages, 1,500 videos, 36 cubic metres physical evidence
Criminal intelligence database		
Relationships entered (cumulative total)	374 560	388 618
Documents entered (cumulative total)	2 893	2 684

C. Registry

	Projection	*Implementation*
Press and Information Office		
Media representatives/journalist listed on distribution lists	457	421
Press releases issued	170	136
Phone queries/document requests – press	13 000	15 000
Phone queries/document requests – public	4 900	3 500
Arranged visits by universities, law societies etc./visitors	25/550	32/652
Internet home page queries (per week)	21 000	30 000
Security and Safety Services		
Average number of posts and patrols covered per day	42	43

	Projection	*Implementation*
Staff ID cards issued	2 175	1 988
Personnel screened on entry to building	234 000	249 800
Parcels inspected and x-rayed	46 540	51 800
Visitor badges issued	12 480	13 990
Officers covering courtroom and accused	22	26
Detention Unit		
Detainees (average)	8	12
Victims and Witnesses Unit		
Witnesses	400	142
Witness days	3 200	1 278
Administrative applications for witnesses	2 000	1 420
Witness with additional protective measures	49	36
Relocation requests	1	0
Witnesses with additional support needs	40	9
Witness transport (Schiphol-ICTY-Schiphol)	130	134
Witness transport (hotel-court)	680	858
Library and Reference Services		
Acquisition of books	875	610
Inter-library lending service	350	420
Lexis (hours used)	1 020	412
External databases accessed (hours)	550	600
Budget and Finance Services		
Appropriation level[a]	$48.6	$48.6
Extrabudgetary expenditure[a]	$4.0	$3.9
Payroll (regular + extrabudgetary + project)	478	404
Financial statements each month	12	12
Travel claims	1 900	1 740
Disbursements	850	875
Personnel Services		
Staffing table	367	367
Other personnel (gratis, extrabudgetary, trust funds)	167	75
Applications received	2 200	1 600
Offers of appointment	150	133
Special service agreement contracts	500	438
Short-term contracts	250	316
Conference and Language Services		
Translation (pages per year)	29 500	33 100
Conference interpreters (days)	1 850	1 292
Field interpreters (days)	2 600	1 907
Verbatim reporting – French (days)	813	850
Verbatim reporting – English (days)	340	344

	Projection	*Implementation*
Electronic Support and Communications Service		
Local Area Network		
Networks supported	6	7
Network connections	400	412
Helpdesk – calls	20 800	22 435
Helpdesk – calls/support person	5 200	5 608
Helpdesk – computers *in situ*	390	430
Audio/Visual – court sessions supported	183	176
Audio/Visual – video editing requests	69	97
Communications – phone extensions	500	460
Communications – support requests	2 175	2 286
Communications – VSAT stations on-line	1	1
Programming – projects	11	14
Programming – applications users	385	400
General Services Section		
Procurement		
Purchase orders raised	421	407
Contracts raised	60	73
Local Committee on Contracts cases	74	125
Headquarters Committee on Contracts cases	6	6
Invoices processed	1 106	1 023
Travel		
PT8 raised	1 954	2 408
Travel invoices	1 700	1 984
Building Management Unit		
Work orders completed	710	650
Major maintenance projects	18	19
Electoral construction projects	12	8
Mail and Pouch		
Outgoing mail (pieces)	47 500	41 923
Incoming mail (pieces)	76 500	72 601
Graphics		
Requests for reproduction	1 237	917
Pages reproduced (centrally)[b]	3.5	3.5
Protocol		
Visa/ID applications	578	396
Receiving and Inspection		
Inspection reports	270	287
Drivers		
Trips undertaken	962	1 216

[a] Millions of United States dollars.

[b] Millions of pages.

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Financing of the International Criminal Tribunal for the Prosecution of Persons Responsible for Genocide and Other Serious Violations of International Humanitarian Law Committed in the Territory of Rwanda and Rwandan Citizens Responsible for Genocide and Other Such Violations Committed in the Territory of Neighbouring States between 1 January and 31 December 1994

Report of the Secretary-General

Summary

The present report contains the third annual budget performance report of the International Criminal Tribunal for the Prosecution of Persons Responsible for Genocide and Other Serious Violations of International Humanitarian Law Committed in the Territory of Rwanda and Rwandan Citizens Responsible for Genocide and Other Such Violations Committed in the Territory of Neighbouring States between 1 January and 31 December 1994. An amount totalling $35,974,800 net ($41,517,500 gross) was appropriated for 1997 by the General Assembly in resolutions 51/215 A and B of 18 December 1996 and 13 June 1997, respectively. During the year, the actual expenditure amounted to $35,717,600, resulting in an unencumbered balance of $257,200.

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I. Introduction

1. The budget performance report for 1997 is submitted in accordance with General Assembly resolution 49/251 of 20 July 1995. For 1998, the Assembly also requested the Secretary-General, by resolution 52/218 of 22 December 1997, to provide in the budget performance report the actual performance indicator statistics for 1997 and the information on the arrangements through which the Tribunal receives proper guidance and assistance from Headquarters to implement and enforce the financial rules, personnel rules and all other applicable administrative issuances of the United Nations.

2. The third year of operation of the Tribunal has been a turning point following the difficult start-up phase in the first two years. The second annual report of the President of the Tribunal to the Security Council and the General Assembly at its fifty-second session (A/52/582) provides details of activities undertaken through July 1997.

3. Notable developments, in chronological order, comprise both qualitative and quantitative improvements in the activities of the Tribunal. The first trial hearing was held on 9 January 1997. Three trials involving four defendants were under prosecution by the end of April 1997. With the exception of a judicial recess in mid-year to allow for the plenary session in June 1997 in Arusha and various legal motions in connection with new indictments, hearings continued on all three cases until court sessions adjourned towards the end of November.

4. Management changes in the Registry and the Office of the Prosecutor were made as early as February 1997, with the appointment of the new Registrar, and in May 1997, with the appointment of the new Deputy Prosecutor. A new Chief of Administration joined the Tribunal in April 1997. The candidate selected for the post of Deputy Registrar took up her duties in March 1998. A vacancy announcement for the post of Chief of Investigations was issued in the last quarter of 1997 in anticipation of the departure of the then incumbent at the end of the year, and candidates are being reviewed.

5. Construction of the United Nations Detention Facility was completed in July 1997, according to the plans drawn up in 1996. Nevertheless, additional improvements had been identified in order to enhance the conditions of detention. Some of these improvements involve the establishment of a mess hall and upgrading of the sewage and water systems, watchtowers and conference rooms for lawyers and detainees. Notwithstanding the need for improvements, completion of the project enabled the Tribunal to reduce overcrowding conditions, provide additional space in which detainees can exercise, and expand the facilities for administering the Detention Facility. A prison kitchen was established to ensure proper nutrition for detainees in a cost-effective manner.

6. Also in July 1997, as the result of a successful operation code-named "NAKI" (Nairobi-Kigali), seven suspects were apprehended and subsequently transferred to Arusha. In addition, the three detainees who had been held in Switzerland and Cameroon were transferred to the Tribunal during the year. Together with further indictments brought by the Prosecutor during the months of August and September, these actions yielded a total of 25 confirmed indictments involving 36 persons. By the end of the year, 23 persons were held in the custody of the Tribunal. The lone detainee held in the United States of America is still awaiting transfer proceedings.

7. The second courtroom was completed in September 1997, doubling the capacity of the Tribunal to hear trial cases. Each of the Trial Chambers is now capable of planning its own calendar independently of the other.

8. Other developments deserving of mention relate to the delivery of urgently needed transport and office automation equipment. It might be recalled that the Tribunal had experienced serious problems during its first two years, because of the slow pace of procurement. The new equipment was received in Arusha and Kigali at roughly the same time in the last quarter of the year. Recruitment, which had also lagged behind, experienced a surge in the second half of the year. As at year end, 60 new international staff who had accepted appointments with the Tribunal were in one or another stage of completing the recruitment formalities before taking up their duties at Arusha or Kigali. These developments, combined with the limited space at the current premises in Arusha, made clear that overcrowding would become a major problem in 1998. In 1997, the emphasis was placed on finding alternatives to relieve the future overcrowding which would result from attaining full staffing at both Arusha and Kigali.

9. In accordance with paragraph 3 of General Assembly resolution 52/218, the actual performance indicators for 1997 are provided in annex I to the present report. The information requested in paragraph 4 of the same resolution concerning the guidance and assistance provided by Headquarters to the Tribunal is described in annex II.

II. Performance report for 1997

Table 1
Overall appropriation and expenditure
(Thousands of United States dollars)

Object of expenditure	*Appropriation*	*Expenditure*	*Variance*
Posts (net of staff assessment)	23 462.4	22 885.1	(577.3)
Salaries and allowances of judges (including common costs)	913.9	1 658.2	744.3
Other staff costs	943.1	1 042.4	99.3
Consultants and experts	150.0	71.4	(78.6)
Travel	1 512.7	1 761.0	248.3
Contractual services	1 575.1	2 272.4	697.3
Hospitality	4.0	6.7	2.7
General operating expenses	1 822.9	2 915.7	1 092.8
Supplies and materials	996.0	1 113.0	117.0
Furniture and equipment	4 594.7	1 991.7	(2 603.0)
Staff assessment	5 542.7	3 198.8	(2 343.9)
Total (gross)	**41 517.5**	**38 916.4**	**(2 601.1)**
Income from staff assessment	5 542.7	3 198.8	(2 343.9)
Total (net)	**35 974.8**	**35 717.6**	**(257.2)**

10. In its resolution 51/215 B of 13 June 1997, the General Assembly decided to appropriate to the Special Account for the International Criminal Tribunal for Rwanda a total of $18,402,500 gross ($15,103,700 net) for the period from 1 July to 31 December 1997, in addition to the amount of $23,114,950 gross ($20,871,100 net) already appropriated for the period from 1 January to 30 June 1997 under Assembly resolution 51/215 A of 18 December 1996. The actual expenditures recorded for 1997 amount to $35,717,600 against the total appropriation of $35,974,800, reflecting an unencumbered balance of $257,200 in the order of 0.7 per cent. The breakdown of expenditure by object and the related variances against the approved estimates are explained below.

Posts (Decrease: $577,300)

11. The decrease reflects the net effect of savings under Salaries ($2,245,300) owing to vacancy of posts at both Arusha and Kigali, offset by an increase of $1,668,000 in the common staff costs which were higher than the standard costs used.

12. The overall vacancy rates of the authorized staffing table were 24 per cent for the period 1 January to 30 June 1997, and 22 per cent from 1 July to 31 December 1997. Despite these vacancy rates, there was a significant shortfall in the common staff costs, particularly those pertaining to initial appointment of internationally recruited staff. This is owing in large part to the vigorous recruitment efforts by the Tribunal to fill the vacant posts during the second half of 1997.

Salaries and allowances of judges (including common costs) (Increase: $744,300)

13. The additional requirements under this heading, amounting to $750,700, are attributable to the decision of the Secretary-General to compensate the judges retroactively to the date of their appointment.

Other staff costs (Increase: $99,300)

14. The increase of $99,300 relates to more resources required for overtime and other staff costs, totalling $312,100, partially compensated by savings of $212,800 under General temporary assistance.

15. The additional requirements of $312,100 under Overtime in 1997 were effected by the following two factors: (a) a substantial amount of overtime hours in 1996 approved for both international and local support staff were not compensated until the second half of 1997; and (b) the shortage of staff was often made up by staff on board

working extra hours. Although prevalent throughout the Tribunal, this was particularly true in the case of security and transport staff.

16. As regards General temporary assistance, the savings ($212,800) resulted from the hiring of mostly local staff as secretaries, drivers and cleaners, to meet immediate and short-term needs during peak workload periods.

Consultants and experts (Decrease: $78,600)

17. The surplus results from savings ($139,100) owing to the lower level of fee payments for expert testimony and the lower number of experts actually required, offset by unanticipated requirements of $60,500 in connection with the engagement, *inter alia*, of a quantity surveyor and an architect to assist in premises planning, a civil engineer to coordinate with the government supervisory personnel on the construction project at the United Nations Detention Facility, and a medical consultant for the detainees at the facility.

Travel (Increase: $248,300)

18. Increased requirements of $248,300 relate to the Office of the Prosecutor ($405,800), partially offset by savings in the order of $157,500 owing to lower requirements in the Chambers and the Registry. The over-expenditure under the Office of the Prosecutor pertains to the travel of the Prosecutor and her staff which was unforeseen and the increased international travel of investigative and legal staff as part of the new prosecutional strategy. In addition, although the provisions for travel within Rwanda were somewhat curtailed during the 1997 budget review in the light of the security situation, field investigations were required at almost the same level as originally envisaged.

Contractual services (Increase: $697,300)

19. The increase under this heading reflects the unanticipated cost of legal defence counsel for indigent accused persons who, even while awaiting trial, need counsel to represent them in hearings and preliminary motions and to prepare a defence.

Hospitality (Increase: $2,700)

20. An increase of $2,700 involves receptions held in conjunction with the plenary meeting of the judges and seminars or other meetings of the Tribunal, as well as hospitality to delegations visiting the Tribunal.

General operating expenses (Increase: $1,092,800)

21. The additional requirements reflect the net result of savings of $118,500 under premises and increased requirements ($1,211,300) in connection with the following: delayed communication charges, including long distance telephone calls from 1996, and full provisions for 1997 requirements ($490,800) and miscellaneous services ($720,500). Increases under Miscellaneous services include loss on exchange rate ($96,500), security operation of the Detention Facility and at senior level officials' residences ($227,500), bank charges ($62,300), announcement of vacancies in newspapers ($125,000), security service for premises in Kigali ($90,000), Operation NAKI ($75,000), rental of video equipment ($23,300) pending arrival of the equipment ordered, catering services to the Detention Facility prior to establishment of an in-house kitchen ($16,700) and rental of unmarked vehicles and temporary lodgings for support to victims and witnesses ($14,400), the total of which is partially offset by savings of $10,200 in Other miscellaneous services. The cost of the security operation of the Detention Facility and at senior level officials' residences and the fee for the security service in Kigali were erroneously recorded under this object, while budgetary provisions had been made under contractual services. Other items were unforeseen at the time of the preparation of the budget.

Supplies and materials (Increase: $117,000)

22. The variance in the amount of $117,000 is attributable in large part to unexpectedly higher requirements for fuel and lubricants ($97,400) and spare parts ($96,200), owing to the conditions of the vehicles, partially offset by decreases in requirements for other supplies.

Furniture and equipment (Decrease: $2,603,000)

23. The net reduction of $2,603,000 reflects savings in the order of $2,729,400 offset by additional requirements under Furniture and fixtures ($126,400) owing to additional staff in the second half of 1997.

24. The savings relate to various factors. In the case of communications equipment, improvements in operating systems were made in 1997 without the need to purchase all the equipment that had been anticipated.

25. Regarding office automation equipment, procurement delays affecting orders placed in 1996 made it impractical to order new equipment in 1997 until the one on order was received and assimilated into operations. This resulted in savings of $798,300.

26. The policy for acquiring vehicles prevented the Tribunal from placing orders totalling some $600,000 with vendors. This was the case of a procurement request involving additional vehicles to replace another 30 vehicles inherited from the United Nations Assistance Mission in Rwanda (UNAMIR). The order was delayed following a decision to seek lower prices by means of a global contract to one vendor who could commit to filling all the requirements of the United Nations fleet.

27. Additional savings of $411,800 under Other equipment relates to delays in identifying a vendor to provide hard-body armoured vehicles for the Victims and Witnesses Support Section and the Security and Safety Section, for adequate protection in the transport of witnesses and detainees.

Staff assessment (Decrease: $2,343,900)

28. The reduced requirements under this item reflect the vacancy rates reported in paragraph 12 above. The same amount represents income from staff assessment.

III. Action requested of the General Assembly

29. The General Assembly is requested to take note of the present report.

Annex I

Performance indicators for 1997

The Chambers

	Projection	*Implementation*
Trials	3	3
Court days	224	195
Plenary days	5	5

The Office of the Prosecutor

	Projection	*Implementation*
Investigation		
Number and status of investigations	70	80
Investigations resulting in public indictments	15	32
Missions	485	480
Witnesses interviewed	500	450
Statements obtained	215	450
Prosecution		
Motions/applications/responses	76	80
Trials under preparation	11	20
Trials being prosecuted	3	3

The Registry

	Projection	*Implementation*
Press and information		
Media representatives on distribution list	220	490
Press releases issued	65	74
Phone queries/document requests, press	600	685
Phone queries/document requests, public	660	410
Arranged visits by universities, other groups	25	29
Court management		
Court sessions	224	195
Court transcripts pages	10 090	34 003
Documents processed	1 400	1 684
Lawyers and Detention Facility management		
Number of legal counsel	26	30
Additional defence team members	8	9
Highest number of detainees	21	23

	Projection	*Implementation*
Witness and victims support		
Witnesses	109	83
Witness support days	1 360	1 040
Witnesses with additional protective measures	51	71
Relocation requests	5	10
Witnesses with additional support needs	31	119
Safe houses	2	2
General legal services and Chambers support		
Judicial decisions (English and French)	60	68
Warrants of arrest (English and French)	10	16
Confirmation of indictments (English and French)	10	15
Legal briefs and memoranda	25	N/A
Preparation of plenary sessions	1	1
Annual report	1	1
Yearbook	1 (1994-1996)	—
Language and conference services		
Translation pages	5 500	7 585
Court interpreter sessions	180	195
Personnel services		
Staffing table	417	324
Other personnel	300	244
Applications received/screened	1 600	2 132
Special service agreements	15	23
Offers of appointment	N/A	118
Short-term contracts	40	68
Budget and finance services		
Number of staff on payroll:		
Local staff	200	199
International staff (local portion of salary)	210	206
Claims (travel, etc.)	$2 000 000	$1 850 000
Other disbursements	$6 400 000	$7 700 000
Expenditure	$35 000 000	$35 000 000
General services		
Buildings management		
Work orders completed	36	50
Major projects	4	4
Registry fax/pouch/mail		
Incoming mail	21 800	23 840
Outgoing mail	16 500	26 619
Confidential pieces	800	1 050
Reproduction requests	400 000	750 363
Visa applications/residence permits	200	194

	Projection	*Implementation*
Air operations		
Number of flights	270	298
Number of passengers	1 600	1 293
Number of pieces: pouch, cargo, luggage	1 400	1 383
Receiving and inspection reports	925	393
Inventory	4/yr.	2/yr.
Travel		
Authorizations	800	945
Invoices	450	700
Procurement		
Purchase orders raised	415	435
Contracts signed	10	9
Local contracts committee cases	31	32
Headquarters Committee on Contracts cases	10	4
Security services		
Average number of patrols and posts covered daily	15	15
Staff identification cards issued	600	925
Visitors' passes issued	540	1 800
Officers covering courtrooms and accused	2	4
Officers covering the United Nations Detention Facility	6	6
Communications and electronic data processing/management information system		
Local area networks supported	2	2
Local area network connections	60	124
Help desk calls	4 800	2 718
Help desk calls/support person	3 840	1 954
Help desk – computers *in situ*	3 170	1 600
Audio/video court sessions supported	299	328
Communications phone extensions	500	472
Support requests	3 300	3 300
Outgoing faxes	33 228	45 195
Incoming faxes	17 289	14 805
Transport		
Number of fuel coupons	3 000	3 360
Vehicle maintenance and repair work orders	440	608
Trip tickets	4 500	4 440
Units of vehicle spare parts issued	300	512

Annex II

Information requested by the General Assembly in paragraph 4 of its resolution 52/218 of 22 December 1997

1. United Nations Headquarters continues to support the Tribunal in its work and to provide guidance in observing United Nations rules and regulations.

Department of Management

2. In 1997, the Secretary-General assigned a focal point within the Department of Management to assist in coordinating and expediting administrative decisions concerning Tribunal matters. Nevertheless, various offices in the Department are engaged daily in supervising, monitoring and processing the work relating to activities of the Tribunal.

Office of Human Resources Management

3. As of 1 October 1997, the Under-Secretary-General for Management delegated to the Tribunal, for a trial period of one year, the authority to administer all the human resources management functions. Immediately, all the appropriate appointment and promotion bodies were established by the Registrar, and an agreement identifying the distribution of responsibilities was signed by the Tribunal and the Office of Human Resource Management, with the latter assuming monitoring functions. A representative of the Office of Human Resources Management will visit the Tribunal later in 1998 to make an on-site inspection before making a recommendation to the Under-Secretary-General for Management on the extension of the delegation of authority.

4. In addition, the Office of Human Resources Management continues to process personnel actions, through the Integrated Management Information System, covering contractual status and determination of eligibility for entitlements for the Tribunal's international staff. The Office also provides support functions in the areas of job classification, vacancy announcements and issuance of letters of appointment, travel documents, medical clearance and insurance. Guidance on application of staff compensation policies is also rendered by the Office of Human Resources Management.

Office of Programme Planning, Budget and Accounts

5. This office provides ongoing guidance and clarifications to the Tribunal to ensure proper maintenance of the Tribunal's accounts, and extends practical help in finalizing the accounts for the year ended 31 December 1997. The financial statements of the Tribunal are prepared at Headquarters and consolidated with the overall United Nations financial statements. The Accounts Division also provides payroll support to the Tribunal.

6. Guidance is provided by the Programme Planning and Budget Division at all stages of the preparation of the Tribunal's budgets and performance reports, and generally in financial management and control of extrabudgetary resources. Requests for interpretation of the Financial Regulations and Rules of the United Nations and for financial data are responded to expeditiously. As part of its responsibilities, the Division issues promptly allotment advices and staffing table authorizations to ensure smooth implementation of the work programme of the Tribunal and monitors expenditures to alert the Tribunal to make corrective actions as necessary.

Office of Central Support Services

7. The Security and Safety Service continues to provide guidance and advice on security arrangements, and has scheduled training of Tribunal personnel in weapons handling and use, in accordance with United Nations policies.

8. The Procurement and Transport Division supports the Tribunal in developing specifications and bidding documents for major requisitions, evaluating the applicable thresholds for contracts to be considered by the local committee on contracts, and critiquing, supporting or defending as needed, the Tribunal's submissions for the consideration by the Headquarters Committee on Contracts.

9. In addition to providing both personnel and software for introducing electronic mail in Arusha and Kigali in 1997, the Information Technology Services Division has committed to provide the required communications support which would enhance the capacity of the Tribunal in the field of telecommunications including electronic, direct voice and data communications with New York and The

Hague in a secure environment, and make it possible to bring uninterrupted service of Internet with the capability to create a home page. This arrangement will eventually replace the current communication establishments provided by the Field Administration and Logistics Division of the Department of Peacekeeping Operations.

Office of Legal Affairs

10. The Office continues to advise the Tribunal on legal agreements in connection with donor Governments and the host Government, enforcement of sentences, and on other legal matters. It also provides guidance in the proposals to establish a third Trial Chamber, the setting up of a legal library, as well as in drafting major construction contracts.

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Agenda item 142 (a)
Administrative and budgetary aspects of the financing of the United Nations peacekeeping operations: financing of the United Nations peacekeeping operations

Management of peacekeeping assets

Development of the field assets control system and the field mission logistics system

Note by the Secretary-General

1. In its resolution 52/1 of 15 October 1997, the General Assembly endorsed the proposals for the development and implementation of the field assets control system contained in the report of the Secretary-General on the management of peacekeeping assets dated 31 July 1997 (A/51/957). In the same resolution, the Assembly also noted the intention of the Secretary-General to continue to develop the field mission logistics system. The present note provides information on the progress to date in the development and deployment of these two systems.

2. The design of the field assets control system was described in paragraphs 10 to 17 of document A/51/957. Field testing and performance verification of the technical platform was conducted at the United Nations Logistics Base at Brindisi, Italy, in June and July 1997. During August and September 1997, in-mission testing was conducted at the United Nations Observer Mission in Georgia (UNOMIG) and the United Nations Peacekeeping Force in Cyprus (UNFICYP). During November and December 1997, the field assets control system was successfully installed in the United Nations Truce Supervision Organization (UNTSO) and at Brindisi for the missions' assets.

3. Although the General Assembly endorsed the development and deployment of the field assets control system (see para. 1 above), it did not take any action on the Secretary-General's related request for four support account-funded posts at Headquarters for this purpose (one P-4, two P-3, one General Service). Since the Field Administration and Logistics Division has not had the capability to support further implementation and maintenance, it has not been possible to install the system as originally envisaged. It is

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anticipated that, if the additional posts are approved and staff recruited, the system can be successfully installed in the remaining field missions within a period of twelve months.

4. The purpose and design of the field mission logistics system was described in paragraphs 25 and 26 of document A/51/957. The field mission logistics system will use the Organization's existing global mission communications, data storage and transmission infrastructure. The system will take advantage of modern commercial groupware (software) for the seamless integration and transfer of data between field missions and the Field Administration and Logistics Division. Use of groupware technology that supports near real-time multi-level user access and the transfer or update of information from external data sources will enable standardization of data capture, data sharing and transfer of information between existing field mission databases, elimination of data entry redundancies (i.e. existing mission databases can be used for the retrieval and re-configuring of data for use in other missions thus eliminating the need for manual re-entry of such data), and provide transparency between missions and within each mission area. By providing management reports, the system will be of great assistance in the resolution of discrepancies and in ensuring prompt reporting by recipient missions.

5. It is anticipated that the remaining modules of the field mission logistics system could be developed and deployed to our field mission by the end of 1999, based on the assumption that support account-funded staffing resources (one P-3, one General Service (Principal level) and two General Service (other level)) additional to that referred to in paragraph 3 above will also be authorized by 1 July 1998. As stated earlier, it is envisaged that the field asset control system would be installed in up to 15 field missions in twelve months after the approval and recruitment of the staff required. Therefore, should approval be granted during the fifty-second session of the General Assembly, it is conceivable that this work will be completed during the second quarter of 1999.

6. The staffing requirements needed to deploy and maintain the field assets control system (one P-4, two P-3, one General Service) and to develop, implement and maintain the field mission logistics system (one P-3, three General Service (including one at Principal level)) have been included in the report of the Secretary-General on the support account for peacekeeping operations for the period from 1 July 1998 to 30 June 1999 (A/52/837).

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Agenda item 142 (a)
Administrative and budgetary aspects of the financing of the United Nations peacekeeping operations: financing of the United Nations peacekeeping operations

Death and disability benefits

Note by the Secretary-General

1. The information contained in the annex to the present note is submitted pursuant to paragraphs 16 and 17 of General Assembly resolution 51/239 A of 17 June 1997, in which the Assembly noted that as at 19 May 1997 a backlog of 564 death and disability claims awaited processing and requested the Secretary-General to submit to the Assembly quarterly written reports on the progress made in clearing the backlog.

2. In this connection, it should also be recalled that in the same resolution the General Assembly provided general temporary assistance resources funded from the support account in the amount of $158,500 for the 12-month period from 1 July 1997 to 30 June 1998 for the sole purpose of processing the backlog of claims referred to in paragraph 1 above.

3. The first quarterly report, dated 28 October 1997 (A/52/538), presented information relating to death and disability incidents occurring up to and including 30 June 1997, indicating the total number of claims from the backlog that had been received since 19 May 1997 as well as the number of claims processed as at 30 September 1997. The second quarterly report provided updated information as at 31 December 1997 (A/C.5/52/37).

4. The present document constitutes the third quarterly report. The information presented in the attached annex indicates the total number of claims received from troop-contributing countries as at 31 March 1998, identifying the number of claims received since 19 May 1997. This information is presented by country (table A) and by peacekeeping operation (table B). A comparison of the total number of incidents of death and disability reported by peacekeeping operations as at 31 March 1998 and the related number of claims submitted to the Secretariat is presented in table C.

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Annex

A. Death and disability claims backlog report for incidents occurring up to and including 30 June 1997 as at 31 March 1998 (by country)

Country	*Claims received prior to 19 May 1997*	*Claims received after 19 May 1997*	*Claims processed from 19 May 1997 to 31 March 1998*	*Total claims awaiting processing*
Argentina	9	2	11	–
Austria	35	–	–	35
Bangladesh	27	–	–	27
Belgium	–	40	40	–
Brazil	–	1	1	–
Bulgaria	41	–	41	–
Canada	12	1	13	–
Czech Republic	7	–	7	–
Denmark	–	7	7	–
Egypt	42	5	47	–
Fiji	26	–	26	–
Finland	1	–	–	1
France	107	188	295	–
Germany	3	–	2	1
Indonesia	8	–	1	7
Ireland	37	23	60	–
Italy	56	13	66	3
Jordan	3	53	56	–
Malaysia	–	1	1	–
Nepal	–	5	5	–
Netherlands	–	2	2	–
Pakistan	1	6	7	–
Poland	64	63	127	–
Russian Federation	11	–	1	10
Senegal	1	1	2	–
Slovakia	6	–	6	–
Spain	10	–	10	–
Thailand	2	–	–	2
Tunisia	2	–	–	2
Turkey	3	–	3	–

Country	*Claims received prior to 19 May 1997*	*Claims received after 19 May 1997*	*Claims processed from 19 May 1997 to 31 March 1998*	*Total claims awaiting processing*
Ukraine	9	12	21	–
United Kingdom of Great Britain and Northern Ireland	23	–	23	–
Uruguay	2	–	–	2
Zimbabwe	16	–	16	–
Total	**564**	**423**	**897**	**90**

B. Death and disability claims backlog report for incidents occurring up to and including 30 June 1997 as at 31 March 1998 (by peacekeeping operation)

Mission	*Claims received prior to 19 May 1997*	*Claims received after 19 May 1997*	*Claims processed from 19 May 1997 to 31 March 1998*	*Total claims awaiting processing*
United Nations Operation in Mozambique	4	–	–	4
United Nations Assistance Mission for Rwanda	3	11	12	2
United Nations Angola Verification Mission	–	1	1	–
United Nations Disengagement Observer Force	30	18	19	29
United Nations Peacekeeping Force in Cyprus	9	–	1	8
United Nations Interim Force in Lebanon	140	95	216	19
United Nations Iraq-Kuwait Observation Mission	2	2	2	2
United Nations Mission in Haiti	2	1	1	2
United Nations Operation in Somalia	104	31	127	8
United Nations Protection Force	178	248	422	4
United Nations Transitional Authority in Cambodia	89	16	93	12
United Nations Transition Assistance Group	3	–	3	–
Total	**564**	**423**	**897**	**90**

C. Total number of death and disability incidents reported and claims submitted for incidents occurring up to and including 30 June 1997 as at 31 March 1998 (by peacekeeping operation)

	Death		*Disability*		*Total*	
Mission	*Incidents reported*	*Claims*	*Incidents reported*	*Claims*	*Incidents reported*	*Claims*
United Nations Operation in Mozambique	21	10	51	2	72	12
United Nations Mission for the Referendum in Western Sahara	3	–	5	–	8	–
United Nations Assistance Mission for Rwanda	22	15	43	2	65	17
United Nations Angola Verification Mission	31	1	50	–	81	1
United Nations Disengagement Observer Force	38	3	415	98	453	101
United Nations Peacekeeping Force in Cyprus	162	3	87	13	249	16
United Nations Interim Force in Lebanon	214	52	982	275	1 196	327
United Nations Iraq-Kuwait Observation Mission	7	4	27	–	34	4
United Nations Mission in Haiti	5	4	14	3	19	7
United Nations Operation in Somalia	151	96	423	185	574	281
United Nations Protection Force	232	124	1 500	340	1 732	464
United Nations Transitional Authority in Cambodia	41	36	37	101	78	137
United Nations Transition Assistance Group	11	3	30	–	41	3
Total	**938**	**351**	**3 664**	**1 019**	**4 602**	**1 370**

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Agenda item 114
Review of the efficiency of the administrative and financial functioning of the United Nations

Gratis personnel provided by Governments and other entities

Report of the Secretary-General

1. The present report is submitted in response to General Assembly resolution 51/243 of 15 September 1997, in paragraph 6 of which the Secretary-General was requested to report on a quarterly basis on the acceptance of the gratis personnel referred to in paragraph 4 of the resolution, with a view to ensuring compliance with the provisions of the resolution. The first quarterly report covering the period from the adoption of resolution 51/243 to 30 September 1997 was included as part II of a prior report of the Secretary-General (A/52/709 and corrigendum 1) submitted on 4 and 9 December 1997. The second quarterly report for the period 1 October through 31 December 1997 was submitted on 10 March 1998 (A/C.5/52/43). The present report covers the period from 1 January through 31 March 1998.

2. During the period, 33 new type II gratis personnel started their service, as detailed in the table below. During the same period, 43 type II gratis personnel concluded their assignments.

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Department Office	*Functional Title*	*Nationality*	*Functions*	*Date on which service began*	*Expiration date of engagement*
Department of Peacekeeping Operations (5 persons)	Supply Officer Logistics Officers (2) Movement Control Officer Planning Officer	Austria Australia (2) Argentina Namibia	These gratis personnel perform specialized logistical functions in support and planning of peacekeeping and other field operations.	20 January 1998-2 March 1998	31 December 1998- 2 February 1999
Economic Commission for Europe (1 person)	Research Officer	Hungary	Prepares an in-depth analysis of the legislative and statistical systems related to medium-sized enterprises in economies in transition in Europe.	15 February 1998	30 May 1998
International Criminal Tribunal for the Former Yugoslavia (10 persons)	Investigators	Canada (2) Netherlands Norway (2) Sweden (2) United Kingdom (3)	Perform investigations for the Prosecutor's Office in preparation of trials.	2 February 1998- 16 March 1998	30 June 1998
International Criminal Tribunal for the Former Yugoslavia (2 persons)	Legal advisers	United States of America (2)	Provide legal advice to the Prosecutor's Office in preparation of trials.	3 February 1998- 18 February 1998	30 June 1998
International Criminal Tribunal for the Former Yugoslavia (4 persons)	Legal assistants	Austria Belgium Nigeria United Kingdom	Provide legal assistance to the Prosecutor's Office in preparation of trials.	5 January 1998-2 March 1998	30 June 1998- 1 July 1998
International Criminal Tribunal for the Former Yugoslavia (2 persons)	Translators	Switzerland (2)	Translate documentation related to cases brought before the Tribunal	23 March 1998- 30 March 1998	30 June 1998
International Criminal Tribunal for Rwanda (8 persons)	Investigators	Netherlands (7) Switzerland	Perform field investigations for the Prosecutor's Office in preparation of trials.	3 January 1998- 19 February 1998	4 June 1998- 30 June 1998
International Criminal Tribunal for Rwanda (1 person)	Senior Legal Officer	Denmark	Provides legal services in the Registry division and legal assistance to the judges and the Registrar	6 January 1998	30 June 1998

3. In the Department of Peacekeeping Operations, the five type II gratis personnel who commenced their service during the first quarter of 1998 were accepted to provide expertise for very specialized functions in logistics, movement control, planning and supply, which were not available at the time in the Secretariat.

4. At the International Criminal Tribunal for the Former Yugoslavia, 10 type II gratis personnel commenced functions as investigators, 2 as legal advisers, 4 as legal assistants and 2 as translators. These gratis personnel were accepted in order to allow the Tribunal to ensure effective and efficient processing of the cases brought to it, pending completion of the recruitment procedures against posts approved by the General Assembly in the Tribunal's budget. These gratis personnel will complete their duties on 30 June 1998.

5. At the International Criminal Tribunal for Rwanda, eight investigators are carrying out specialized investigative functions in the various investigative teams. The investigators are responsible for field investigations, worldwide collection of evidence, securing witness statements, questioning suspects, apprehending suspects or indicted persons and escorting indicted persons to the detention facilities. Special details are created to deal with sensitive missions, such as witness handling or suspects. The senior legal officer provides legal advice to the Registrar, the judges and the legal research officers of the Registry. For these functions, there was no expertise available at the time in the Secretariat. This allowed the Tribunal to process the cases before it, pending completion of the recruitment procedures against posts approved by the General Assembly in the Tribunal's budget. These gratis personnel will complete their duties on 30 June 1998.

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Fifth Committee
Agenda item 142 (a)
Administrative and budgetary aspects of the financing of the United Nations peacekeeping operations: financing of the United Nations peacekeeping operations

Proposed budgetary requirements of each peacekeeping operation for the period from 1 July 1998 to 30 June 1999

Note by the Secretary-General

1. The budgetary information contained in the annex to the present note is submitted pursuant to section I, paragraph 8, of General Assembly resolution 49/233 A of 23 December 1994, in which the Assembly requested the Secretary-General to submit to it twice a year for information purposes a table summarizing the proposed budgetary requirements of each peacekeeping operation for the period from 1 July to 30 June, including a breakdown of expenditure by major line item and the aggregate total resource requirement.

2. The budgetary information included in the present note covers the estimated requirements for the period from 1 July 1998 to 30 June 1999 of all current peacekeeping operations and has been extracted from the financing reports of the Secretary-General for each of the missions.

3. The annex to the present note includes prorated provision for the support account for peacekeeping operations for the period from 1 July 1998 to 30 June 1999, as well as estimated requirements for the United Nations Logistics Base at Brindisi, based on the reports of the Secretary-General(A/52/837 and A/52/858).

4. The total amount presented in the annex excludes possible budgetary requirements for Sierra Leone for the 12-month period commencing 1 July 1998, should the Security Council decide to authorize its establishment as a full-fledged mission in the near future.

5. The total amount indicated also excludes provision for additional resource requirements for the United Nations Peace Forces (UNPF) to meet as yet unbudgeted requirements for the reimbursement of contingent-owned equipment, pending the preparation of the mission's final performance report, which is expected to be submitted to the General Assembly at its fifty-third session. A determination of the precise amount required is not available at the present time.

6. In accordance with General Assembly resolution 49/233 A, the budgetary information contained in the present note will be updated in the second note for the year, which will be issued during the second part of the fifty-third session of the Assembly.

98-13023 (E) 120598

Annex

Estimated budgetary requirements for peacekeeping operations for the period from 1 July 1998 to 30 June 1999

(Thousands of United States dollars)

Expenditure by major line item	*UNFICYP*	*UNDOF*	*UNIFIL*	*MONUA*	*UNIKOM*	*MINURSO*	*MIPONUH*	*UNOMIG*	*UNMOT*	*SUPPORT GROUP*	*UNMIBH*	*MINURCA*	*UNPREDEP*	*TOTAL*
1. Military personnel costs	22 501.8	18 213.9	78 534.1	30 127.1	24 826.6	16 164.9	60.0	4 761.0	4 278.6	-	2 071.0	12 781.0	13 443.0	227 763.0
2. Civilian personnel costs														
Civilian police	354.8	-	-	10 998.6	-	2 154.6	4 388.5	-	68.9	2 364.6	75 996.5	461.5	259.7	97 047.7
Civilian staff and other personnel costs	10 209.8	5 553.9	26 782.0	37 997.7	13 874.9	28 385.2	6 873.1	8 153.6	9 826.4	3 004.1	65 040.4	6 221.5	3 790.1	225 712.7
3. Premises/accommodation	1 107.5	1 514.5	2 941.5	4 086.8	800.6	1 671.2	716.1	621.4	206.0	204.0	4 170.4	1 025.0	522.4	19 587.4
4. Infrastructure repairs	200.0	-	-	30.0	30.0	-	-	30.0	-	-	-	28.0	-	318.0
5. Transport operations	2 621.2	4 550.5	14 937.1	4 293.8	3 051.5	2 281.8	989.9	1 435.1	766.8	356.5	13 607.7	1 802.0	764.6	51 458.5
6. Air operations	1 354.9	-	1 207.5	20 756.0	3 349.5	8 062.6	1 734.7	3 168.7	3 036.0	-	1 922.7	3 413.0	423.1	48 428.7
7. Naval operations	-	-	-	-	-	-	-	-	-	-	-	1.0	-	1.0
8. Communications	914.2	583.5	2 816.3	2 787.9	667.5	731.5	711.2	583.6	1 164.0	189.3	11 192.8	572.0	501.2	22 535.0
9. Other equipment	336.3	900.9	2 463.4	1 220.3	645.5	622.9	173.3	415.5	89.1	-	3 576.3	277.5	483.2	11 124.2
10. Supplies and services	1 575.3	1 288.0	3 509.2	23 584.7	1 189.5	682.3	950.4	515.1	243.3	303.7	2 879.9	1 372.5	511.2	38 605.1
11. Election-related supplies and services	-	-	-	-	-	-	-	-	-	-	-	-	-	-
12. Public information programmes	-	-	-	198.0	-	-	24.5	22.5	100.9	10.5	193.1	13.0	17.1	579.6
13. Training programmes	7.5	-	2.9	60.0	10.0	-	-	27.0	-	-	230.0	3.0	5.0	345.4
14. Mine-clearing programmes	-	-	-	-	-	166.4	-	-	-	-	-	-	-	166.4
15. Assistance for disarmament and demobilization	-	-	-	-	-	-	-	-	1 208.1	-	-	-	-	1 208.1
16. Air and surface freight	86.4	160.0	332.0	240.0	100.0	48.6	1 157.5	103.2	10.0	200.0	150.0	75.0	1 200.0	3 862.7
17. Staff assessment	1 739.3	878.7	3 993.5	4 444.5	2 066.7	4 081.2	745.6	986.7	1 284.0	488.7	9 890.4	736.5	473.5	31 808.3
Gross Estimate	43 009.0	33 643.9	136 719.5	140 825.4	50 611.3	65 053.2	18 524.8	20 743.4	22 282.1	7 121.4	190 921.2	27 637.0 [a]	22 314.1	779 406.3
Prorated provision for the support account for peacekeeping operations	2 174.7	1 701.1	6 913.0	7 120.6	2 559.1	3 289.3	936.7	1 048.9	1 126.7	360.1	9 653.5	1 397.4	1 128.3	39 409.4
Prorated provision for the United Nations Logistics Base at Brindisi, Italy	394.1	308.3	1 252.8	1 290.4	463.8	596.1	169.7	190.1	204.2	65.3	1 749.3	253.2	204.5	7 141.8
Total	45 577.8	35 653.3	144 885.3	149 236.4	53 634.2	68 938.6	19 631.2	21 982.4	23 613.0	7 546.8	202 324.0	29 287.6	23 646.9	825 957.5

[a] Includes voluntary contributions in kind (budgeted) in the amount of $1,137,500.

UNITED NATIONS **A**

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Fifty-second session
FIFTH COMMITTEE

Letter dated 7 May 1998 from the President of the General Assembly addressed to the Chairman of the Fifth Committee

I have the honour to inform you that the General Assembly, at its 84th plenary meeting, on 6 May 1998, adopted decision 52/477, entitled "United Nations reform: measures and proposals" (A/52/L.73/Rev.3, as orally revised).

I should like to draw your attention in particular, for appropriate action by the Fifth Committee, to the first paragraph of decision 52/477, which reads:

> "The General Assembly requests the Fifth Committee to consider at its resumed session in May 1998 the note by the Secretary-General contained in document A/52/848 and to consider as soon as possible the report of and the note by the Secretary-General contained in documents A/52/822 and A/52/852 and to make recommendations to the General Assembly on the proposals of the Secretary-General described in these documents."

(Signed) Hennadiy UDOVENKO

98-12691 (E) 080598